



Attorney Docket No. 15162/3060

DEP & REF  
#307

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2004 JUL 26 AM 10:31

Application No.: 09/765,229  
Applicant(s): Koujiro SEKINE et al  
For: OPTICAL FUNCTIONAL DEVICE AND OPTICAL  
INTEGRATED DEVICE  
Confirmation No.: 7378  
Customer No.: 24367  
Docket No.: 15162/03060  
Filed: January 18, 2001  
Group Art Unit: 2874  
Examiner: Michael J. Stahl

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

July 15, 2004

Date of Deposit

Tung T. Nguyen

Name of Applicant, Assignee, or Registered Representative

Signature

July 15, 2004

Date of Signature

**REQUEST FOR REFUND**

The Applicants in the above-identified patent application hereby request a refund of \$266.00 in connection with this case as the PTO has deducted an erroneous fee regarding this application.

On June 23, 2004, Applicants filed a Petition for Extension of Time, charging the amount of \$110.00 in payment of the required fee to Sidley Austin Brown & Wood's Deposit Account No. 18-1260. A copy of the transmittal letter to the Patent and Trademark Office is attached as Exhibit A. Attached hereto as Exhibit B is a copy of the monthly statement for Deposit Account

No. 18-1260. It is noted on the deposit account statement that on June 30, 2004, the Patent and Trademark Office debited said Deposit Account in the amount of \$110.00 in connection with the serial number of the above-identified application.

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Attached hereto as Exhibit C is a copy of the monthly statement for Deposit Account No. 18-1260. It is noted on the deposit account statement that on July 14, 2004, the Patent and Trademark Office debited said Deposit Account in the amount of \$86.00 and \$180.00 in connection with the serial number of the above-identified application. As of June 23, 2004, no additional documents have been filed regarding this serial number.

It is requested that the Patent and Trademark Office credit Deposit Account No. 18-1260 in the amount of \$266.00, to correct the erroneous debit. Further, it is requested that the Patent and Trademark Office advise the undersigned in writing that such has been carried out.

If, in the resolution of this matter, further documents and/or evidence are required, it is requested that the Patent and Trademark Office personnel either call or write the undersigned.

Respectfully submitted,

By:

  
Tung T. Nguyen  
Registration No. 42,935  
Attorney for Applicant

TTN:jds  
SIDLEY AUSTIN BROWN & WOOD LLP  
717 N. Harwood, Suite 3400  
Dallas, Texas 75201  
(214) 981-3478 Direct  
(214) 981-3300 Main  
(214) 981-3400 Facsimile  
July 15, 2004

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DIVISION



# RESPONSE TRANSMITTAL AND FEE AUTHORIZATION

ATTORNEY DOCKET No.: 15162/03060		APPLICATION No.: 09/765,229	
FILING DATE: January 18, 2001	CONFIRMATION No.: 7378	CUSTOMER NO.: 24367	EXAMINER: Michael J. Stahl
GROUP ART UNIT 2874			
INVENTOR(S): Koujirou SEKINE et al			
TITLE OF INVENTION: OPTICAL FUNCTIONAL DEVICE AND OPTICAL INTEGRATED DEVICE			

COMMISSIONER FOR PATENTS  
P.O. BOX 1450  
ALEXANDRIA, VA 22313-1450

TRANSMITTED HEREWITH FOR THE ABOVE IDENTIFIED  
PATENT APPLICATION IS:

- ☒ (A) A response to the Office Action dated: March 3, 2004
- ☒ (B) A Petition for Extension of Time  
☒ for 1 month ☐ for 2 months ☐ for 3 months;  
 A Petition for Extension of Time, having been previously filed,  
☐ for 1 month ☐ for 2 months ☐ for 3 months
- ☐ (C) A Notice of Appeal. \$
- ☐ (D) An Appellant's Brief on Appeal. \$
- ☐ (E) Other: \$
- ☐ (F) A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27  
☐ Small entity status under 37 CFR § 1.27 has been previously established  
☐ The claims fee, if any, has been calculated as shown below

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for Patents, P.O. Box 1450, Alexandria, VA 22313-  
1450, on

June 23, 2004

Date of Deposit

Douglas A. Sorensen

Name of Applicant, Assignee, or Registered  
Representative

Signature

June 23, 2004

Date of Signature

	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA
TOTAL		MINUS		
INDEP.		MINUS		
FIRST PRESENTATION OF MULTIPLE DEP. CLAIM				

## SMALL ENTITY

RATE	ADD'L FEE
x \$9	\$
x \$43	
+ \$145	
TOTAL ADD'L FEE	\$ 0.00

OR

## LARGE ENTITY

RATE	ADD'L FEE
x \$18	\$
x \$86	
+ \$290	
TOTAL ADD'L FEE	\$ 0.00

- ☒ Please charge \$110.00 to Sidley Austin Brown & Wood LLP's Deposit Account No. 18-1260, which includes  
☐ the amount of \$ for the claims fee calculated above AND/OR  
☒ the amount of \$110.00 for the fee for item(s) ☒ (B) ☐ (C) ☐ (D) ☐ (E) ☐ (F)
- ☒ Please charge any additional fees (other than issue fee) required during the pendency of this application  
to Deposit Account No. 18-1260. Please credit any overpayment to Deposit Account No. 18-1260.
- ☒ A duplicate copy of this Response Transmittal and Fee Authorization is enclosed.

June 23, 2004

SIDLEY AUSTIN BROWN & WOOD LLP  
717 N. Harwood, Suite 3400  
Dallas, Texas 75201  
Main: (214) 981-3300  
Direct: (214) 981-3482  
Facsimile: (214) 981-3400

By:

Douglas A. Sorensen  
Attorney for Applicants  
Registration No. 31,570

DIVISION

07/07 147	10881635	15162/05820	1001	\$770.00	\$13,971.00
07/08 12	PAYMENT		9203	-\$24,645.00	\$38,616.00
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07/13 52	10151342	15162/04530	1504	\$300.00	\$26,573.00
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07/14 11	09545138	11415/28801	8001	\$36.00	\$25,032.00
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07/14 12	09765229	15162/03060	1202	\$180.00	\$24,766.00
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07/14 371	78450034	25406/90000	7001	\$670.00	\$23,838.00
07/14 397	78450043	25406/90100	7001	\$670.00	\$23,168.00

START SUM OF  
BALANCE CHARGES  
\$29,347.00 \$232,384.00

SUM OF END  
REPLENISH BALANCE  
\$226,205.00 \$23,168.00

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PATENT  
DIVISION

06/23 42 09782706 15162/03270 8001 \$15.00 \$35,749.0C  
 06/23 43 09547274 15162/01820 1501 \$1,330.00 \$34,419.0C  
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 06/23 56 10147016 15162/04500 1504 \$300.00 \$32,774.0C  
 06/23 57 10147016 15162/04500 8001 \$15.00 \$32,759.0C  
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 06/23 100 09639360 05058/11204 8001 \$15.00 \$31,414.0C  
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 06/25 151 US20030069306 (NO MATTER NO.YET) 8008 -\$200.00 \$30,355.0C  
 06/25 152 US20030083372 (NO MATTER NO.YET) 8008 -\$200.00 \$30,555.0C  
 06/25 153 US20020156127 (NO MATTER NO.YET) 8008 -\$200.00 \$30,755.0C  
 06/25 154 728976 8011 \$220.00 \$30,535.0C  
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 06/30 6 10302122 15162/04970 1202 \$36.00 \$35,309.0C  
 06/30 7 10371385 → 18347/20014 → 2203 \$145.00 \$35,164.0C  
 06/30 7 76564745 → 02889 SA-04-150 7201 → 6001 \$1,005.00 \$34,159.0C  
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 06/30 42 76597762 16435/12001 6001 \$335.00 \$33,489.0C  
 06/30 46 76599348 10368.30801 6001 \$335.00 \$33,154.0C  
 06/30 81 09513391 15162/01580 1501 \$1,330.00 \$31,824.0C  
 06/30 82 09513391 15162/01580 8001 \$15.00 \$31,809.0C  
 06/30 117 09765229 15162/03060 1251 \$110.00 \$31,699.0C  
 06/30 121 10617634 15162/05580 1202 \$90.00 \$31,609.0C  
 06/30 122 10617634 15162/05580 1201 \$172.00 \$31,437.0C  
 06/30 123 10617634 15162/05580 1253 \$950.00 \$30,487.0C  
 06/30 169 10877034 15162/05810 1001 \$770.00 \$29,717.0C  
 06/30 189 10874855 15162/05790 8021 \$40.00 \$29,677.0C  
 06/30 220 09615233 15162/02080 1402 \$330.00 \$29,347.0C

EXHIBIT B




IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/765,229  
 Applicant(s): Koujiro SEKINE et al  
 For: OPTICAL FUNCTIONAL DEVICE AND OPTICAL  
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 Customer No.: 24367  
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 Filed: January 18, 2001  
 Group Art Unit: 2874  
 Examiner: Michael J. Stahl

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 Alexandria, VA 22313-1450

Dear Sir:

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June 23, 2004	Date of Deposit
Douglas A. Sorensen	Name of Applicant, Assignee, or Registered Representative
	Signature
June 23, 2004	Date of Signature

**AMENDMENT**

This Amendment is filed in response to the Office Action dated March 3, 2004, which provides for a response period ending June 3, 2004.

07/14/2004 TDAWKINS 00000008 181260 09765229

01 EC:1201 86.00 DA  
 02 EC:1202 180.00 CR  
 A Petition for Extension of Time, to extend the response period for the Office  
 Action, for one additional month to July 3, 2004, is being filed concurrently.

Amendments to the Claims are reflected in the listing of claims which begins on page 2 of this paper.

Remarks begin on page 8 of this paper.

Adjustment date: 08/30/2004 EEKUBAY1  
 07/14/2004 TDAWKINS 00000008 181260 09765229  
 01 FC:1201 86.00 CR  
 02 FC:1202 180.00 CR